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## **HOPWA Proposed 2005 Program Reporting Requirements**

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*Forms have been updated to include indicators for client outcomes on stable housing.*

### **Overview on HOPWA Performance Outcomes – Measuring Housing Stability**

This document provides an introduction to proposed new annual performance reporting requirements for Housing Opportunities for Persons With AIDS (HOPWA) formula and competitive grant recipients. The draft revised forms are now available for public comment.

These proposed reporting requirements have been substantially revised to incorporate the implementation of new client performance measure outcomes: housing stability, preventing homelessness, and access to healthcare and other support. Annual performance reporting is an integral component of measuring and evaluating grantees accomplishments. HOPWA formula grantees must submit a Consolidated Annual Performance and Evaluation Report (CAPER) that complements the financial and performance data available through IDIS. HOPWA competitive grantees should submit an Annual Progress Report (APR) and an updated Logic Model on their projects. These new reporting requirements will enable the Department to aggregate national performance accomplishment data and to report to Congress more accurately on these accomplishments, allowing for greater public accountability in the use of these federal resources and addressing statutory requirements at 42 U.S.C. 12911.

Importantly, the new reporting requirements are not yet in effect. The draft is being made available for your information consistent with the notice published in the Federal Register of March 24, 2005 (70 FR 15114). Comments are due to HUD by May 23, 2005. HUD anticipates that following the public comment period and the related review of any comments received, the revised final forms would become available later in this fiscal year. In 2006, HUD anticipates that the revised reporting forms would be in use throughout the HOPWA program to allow for consistent national reporting on the accomplishments achieved through the use of these federal and other funds in assisting this special needs population.

These new revisions will enable recipients to document how efforts have been beneficial in providing housing support to this special needs population of low-income persons living with HIV/AIDS and their families. The revisions do not fundamentally alter the new program performance outcome elements that were discussed with HOPWA grantees during the 2003 national meeting and are consistent with the program recommendations in the PART review also conducted in 2003. The HOPWA program has continued its efforts to fully implement the PART recommendations which will be substantially met through the revision of these documents.

HUD's revisions to the HOPWA reporting forms will reduce redundancies, consolidate forms and otherwise reduce burdens for HOPWA participants along with making revisions needed to clarify the information to be collected. The revisions were made to better integrate these reporting tools with the e-grants initiative for the electronic submission of competitive applications in 2005. Data elements were updated to reflect the new universal and program-specific standards for client data to be collected in the area's Homeless Management Information System (HMIS) efforts. Data reporting burdens will be decreased also if grantees make use of HMIS tools for HOPWA clients, including those projects with specific outreach and program efforts to serve the homeless. In addition, the approved format was used to update the Consolidated Plan Management Process reporting tool, in an electronic format, that was issued in July 2004 to provide a more user-friendly format for reporting to

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HUD on the Consolidated Plan and related annual reports. The approved content is being used to inform a redesign of the CPD information technology system (IDIS). The edits to these forms and the consolidation of elements will further improve the focus of the data to be collected on the HOPWA program, reduce burdens to applicants and recipients in accessing these federal resources and help clarify program components, which will result in more accurate information and program accountability.

### **Purpose of the Annual Progress Report**

The APR provides communities with an opportunity to review how the area HOPWA program has helped participants obtain appropriate assistance that addresses pressing housing needs. The report is designed as a management tool to assist area efforts in evaluating program performance, including the performance of project sponsors and contracted service providers, in identifying recommendations for program improvements and in setting future objectives for the community's efforts. The information collected will also be used in reporting the use of these federal funds in providing assistance to eligible beneficiaries.

In considering program successes, the report may also be used to discuss how activities are carried out in conjunction with other resources in the community. These related efforts might include collaborations in the planning or design of housing assistance activities and in coordination with other programs to avoid duplication of efforts while ensuring an appropriate level of assistance for clients. The activities may also relate to the community's overall strategy for housing and community development and how activities have been evaluated. This includes participation by clients in assessing performance. In addition, in describing performance, the grantees may report on the use of performance measures and benchmarks in program development and operation to demonstrate accomplishments or lessons learned in administering these grants.

The Annual Progress Report (APR) fulfills statutory reporting requirements and provides the grantee and HUD with the necessary information to assess the overall performance and accomplishments of the grantee's program activities under the approved goal and objectives. Grantees must complete all of Parts 1-3 on standard reporting elements. Grantees approved for "Other" activities as detailed in their grant agreement, are requested to adapt the APR to report on their unique program accomplishments.

### **HOPWA Revised APR Form HUD-40110-C**

An updated edition of the HOPWA Annual Progress Report is being issued for public comment under the March 24, 2005 FR notice, form HUD-40110-C (12/04)

The APR is used by competitively selected HOPWA grantees for providing annual information on the accomplishments of their program in providing assistance to low-income persons living with HIV/AIDS. This reporting tool also provides a summary of accomplishments of competitive grantees' model projects. Formula grantees have the option of using an APR to track accomplishments of their project/sponsors.

The APR has been revised to incorporate new performance measure reporting requirements and consolidate existing reporting requirements. It also has been designed to help grantees and

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project sponsors aggregate results on the use of the HOPWA resources to: (1) provide housing assistance as the annual output measure; and (2) collect client information demonstrating the outcome of improved housing stability for this special needs population. This edition of the APR revises the existing HOPWA performance charts to track the year of the project activity under the three-year grant cycle of awards and potential extensions and/or renewals. To improve consistency in reporting accomplishments across all HOPWA eligible activities, the unit of measure required in the new form for housing assistance is households. The form also consolidates information on the confidentiality of the housing sites.. The Performance data charts have been edited to reflect the use of three types of housing assistance available under the program, and establish logical outcomes to be expected from such assistance. The focus of the short-term rent, mortgage and utility (STRMU) activity has been clarified to allow grantees to review results in moving from unstable living situations to more appropriate forms of housing, including HOPWA and other public private resources. The leverage data tables have been clarified to allow grantees who commit other resources to their projects to demonstrate the use of those commitments in fulfilling their leveraging obligations under the selection criteria.

- **Logic Model (Form HUD 96010-1 Dated 11/2003)**

In reviewing your annual performance you should complete and attach an updated Logic Model to the APR to illustrate how your use of resources resulted in outputs, related client outcomes, and achievement of projected benchmarks during the year. For example, grantees should ensure that they list the projected and actual number of households served-- by the type of housing--during the operating year. (See Logic Model Form, estimated # shown in column 4 from your approved application and actual one-year result in column 5 in Output Results). Also update your evaluation plan or stated method for collecting data on HUD program measures if changes were made and please report on how a baseline was established for client outcomes.

Each competitive grantee may have also included other program-specific measures, such as, client contacts by service, the number of permanent housing plans for clients established by case managers, the number of jobs created through a job-training or skills-development program, or through each activity during the project operating year. If so, please report on all expected results included in the Logic Model submitted for the project

- **Housing Outputs and Client Outcomes**

Grant recipients must conduct activities consistent with their planned annual housing assistance output goals. Grantees are expected to measure actual achievements objectively each year against anticipated achievements, and report on their actual performance related to housing outputs and client outcomes. Applicants must establish a reasonable goal for housing stability to be quantified at the end of each year of operation. HUD expects that each HOPWA grantee will show that a significant number of beneficiaries achieve stable housing in their program during the operating year. The grantee should establish a baseline for annual performance to help assess how future efforts lead to the achievement of higher levels of housing stability. According to HUD's national goal, by 2008 the percentage of HOPWA clients who maintain housing stability must reach 80 percent.

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The NOFA established two required elements: (1) Required Outputs: The projected number of low-income households with persons living with HIV/AIDS expected to benefit from HOPWA assistance by the type of housing support to be provided through your project during each operating year. (2) Required Outcomes: Through the use of HOPWA housing assistance and related supportive services, the number of eligible persons shown annually to have established or maintained housing stability, along with reduced risks of homelessness, and improved access to healthcare, and other support.

In addition, grant recipients may have established other outcomes, such as increases in the access to permanent housing for eligible persons to enable these households to become more self-sufficient. This might have been done through increases in income or reduction in the need for housing or other subsidies, or support and improved conditions in which low-income families and eligible homeless persons live, by making sure the housing developed was safe, decent and sanitary. Outcomes could have addressed the challenge of homelessness for persons living with HIV/AIDS and their families, including persons who are chronically homeless, by enabling them to move to permanent housing with supportive services assistance. The annual assessment of such outcomes measures will help to evaluate the effectiveness of projects

### **Evaluation Reports**

Grantees should also make use of the add-on funds provided for data collection on project outcomes to prepare related evaluation reports. Grantees would collect relevant information needed to evaluate the special features of their service delivery model as well as their annual performance under their grant. They should adjust project plans as necessary, to ensure information is reported to HUD appropriately and incorporate this information in the area's Consolidated Plans and Continuum of Care homeless assistance processes to help ensure the comprehensiveness of these planning efforts. In addition, the evaluation could consider how HOPWA and leveraged resources are coordinated with the availability of other programs, including resources through mainstream health and human welfare efforts.

Grantees should structure the use of the extra funds for data collection on project outcomes so that it results in an effective evaluation of their efforts. This should be distinct from the general administrative function of reporting to HUD in the APR and Logic Model formats. This could be a supplemental report or evaluation of their special service delivery model and its effectiveness in outreach and benefits to clients, as well as the client outcomes findings under their unique grantee objectives illustrated in their updated logic model.

In collaboration with a HOPWA technical assistance provider on this task, the grantee could:

- (a) Draft a preliminary schedule for developing their evaluation report along with a plan for how to conduct the evaluation of their model or exemplary service delivery program, including any special or unique elements.
- (b) Clear the draft plan for their report contents with HUD within the first year of operation.
- (c) File a preliminary final report with HUD for its review and approval during the third year of operation.

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(d) When approved, disseminate the report. Note that HUD would have this document for review and approval, prior to any publication, including posting on a grantee agency's website or other forms of dissemination.

HUD established the following parameters for the use of these funds in the NOFA applicable to these awards. These elements addressed the following:

“Project Outcome Funding: You must request funding to conduct data collection on project outcomes to support accurate reporting to HUD on the performance outputs and outcomes of your service delivery model. Project outcome activities include:

- (a) Defining monitoring questions that will be addressed and examined during the project period;
- (b) Specifying additional measures, in addition to the use of standard HOPWA output and outcome measures, for your project as incorporated in the logic model submitted with your application.
- (c) Developing instruments to assess project outcomes and systems outcomes;
- (d) Training project staff in the collection of data, including the preparation of the standard HOPWA Annual Progress Report to HUD;
- (e) Using Management Information Systems (MIS), including coordinating assistance for persons who are homeless and persons who are chronically homeless in collaboration with area Homeless Management Information System (HMIS) efforts under the area's homeless Continuum of Care;
- (f) Monitoring data collection activities to assure that submissions are complete and accurate, including data coding and entry;
- (g) Summarizing and analyzing data collected in an effort to identify project baseline data on outcomes and any statistical trends to determine program effectiveness for the clients served;
- (h) Participating in HUD-sponsored collaborations and HUD-designated training events in order to prepare and disseminate the findings of reports on project accomplishments and lessons learned; and
- (i) Applicants may include an expert third-party to conduct project outcome measurement activities, but grantees are encouraged to train staff internally. Such training will increase the internal capacity of your organization and your partner organizations.

### **Applicability – Competitive and Formula Grantees**

Grantees must complete the APR for each program year in which HOPWA grant funds were expended. Information on each competitive grant is to be reported in a separate APR. The APR must be used for any competitive grants that have been awarded. If a program operates with project sponsors or contracted service providers, the recipients should also use the APR for reporting to the grantee on their program activities as a sponsor. However, the grantee should consolidate sponsor and provider information in one report covering the grantee's operating year. The grantee's APR should be the only report filed directly with HUD.

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HOPWA formula grantees are required to use the Integrated Disbursement Information System (IDIS) to provide completed annual performance information on the use of HOPWA program and other funds. A formula grantee may use the APR as an optional form for collecting standard information from project sponsors, but will still be obligated to fulfill formula reporting requirements. Under the Department's Consolidated Plan process communities that receive formula allocations are also required to report summary information on the activities that have been carried out during their Consolidated Plan program year in a CAPER performance report.

### **Stewardship on Capital Development Activities**

For programs involving the use of HOPWA funds for new construction, acquisition or for substantial rehabilitation of a building or structure, a grantee is required to operate the facility or structure to benefit HOPWA eligible persons for a minimum of ten years, although funds should be expended within the first three years from the date of grant agreement. An APR must be submitted for each operating year during which HOPWA funds are expended. In addition, grantees must report on their continued stewardship of these housing units by providing annual information on the continued use of the building or structure for each year during the ten-year use period, even if no additional HOPWA funds were expended. The new APR provides a short "stewardship" report form to be used in the situation that no additional HOPWA funds are being used to operate these units.

Also, for programs involving the use of HOPWA funds for non-substantial rehabilitation or repair of a building or structure, the requirement to operate the facility extends for three years; an APR must be submitted for each operating year during which funds are expended, and HUD may request additional information.

### **Annual Submissions**

As applicable, a grantee must submit a completed APR to HUD within 90 days after the end of each operating year. The report must be submitted to:

- (1) the CPD Division Director in the local HUD field office that is responsible for managing the grant, and
- (2) an additional copy must be sent to the HOPWA Program: U.S. Department of Housing and Urban Development, Office of Community Planning and Development, Office of HIV/AIDS Housing, 451 7<sup>th</sup> Street, S.W., Room 7212, Washington, DC 20410.

### **HUD Review**

After the area HUD Office has received and reviewed an APR, logic model and any evaluation report, the grantee may be contacted on the information presented and may be asked to submit additional or corrective information. The information may also be used in connection with HUD monitoring visits. The APR is an important way in which HUD ensures that eligible persons are being assisted in our programs and that, in addition to reporting on program accomplishments, federal requirements are being met .

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The Department appreciates the efforts that grantees are making in operating programs to assist persons living with HIV/AIDS and their families. HUD recognizes the value of the effort to make this annual progress report, a useful and accurate documentation of program performance. It offers an opportunity for this Department, grantees, area organizations, and clients to analyze what has been accomplished. Efforts to collect information are an equally important opportunity for government agencies to listen to clients, their families, project sponsors, and advocates for their suggestions for program improvements.

### HOPWA Training on New Forms

The Office of HIV/AIDS continues to provide guidance and training for HOPWA program grantees on performance reporting and use of information systems. Two webcasts are scheduled:

- (a) **May 12, 2005** with a focus on the updating of the competitive grantee APR form (NOTE: Formula grantees are welcome to participate in this session too, as performance reporting elements will be similar for all types of grants, and many formula recipients use this form for collecting data from project sponsors.)
- (b) A second webcast is scheduled for **May 24, 2005** with a primary focus on the updating of formula grantee reporting requirements in the use of the CAPER and related changes in IDIS that are reflected in the APR and CAPER.

Ongoing program training will be conducted in on-site meetings and the through use of satellite broadcasts/webcasts to reach participants. Additionally, the Department is developing related HOPWA training guidance to provide grantees with a sample and specific instructions on reporting on housing outputs and ensuring that housing stability performance measure outcome will be reported accurately. A guidance document is also being developed to assist HUD field office staff in reviewing and evaluating these performance reports as part of their ongoing grants management oversight and monitoring of program accomplishments.

Please join us for HUD webcasts on these proposed revised reporting forms

May 12, 2005, beginning at 2 pm (APR)

May 24, 2005, beginning at 2 pm (CAPER, IDIS)

The live link to the webcast is displayed just before the scheduled time at

<http://www.hud.gov/webcasts/>

After these live sessions, webcasts are generally available in the Webcast Archives (<http://www.hud.gov/webcasts/archives/index.cfm>).